IN
GE

« HONOR « COURAGE « COMMITMENT «

READINESS DIVISON

AGENDA

- Mission
- Tasks
- Our products
- Projects – Past, Current, Future
- Recurring Tasks
  - Federal Voting Assistance Program
  - Risk and Opportunity Assessment
  - Oversight Planning Board

MISSION

- The mission of the Readiness Division is to:
  - Identify, analyze, assess, and report on systematic enterprise-level issues and policies impacting Marine Corps operational and institutional readiness, or mission accomplishment

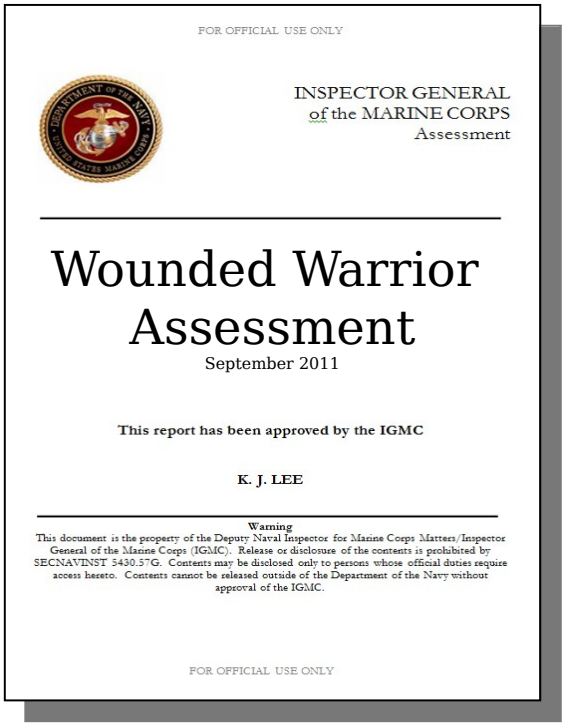
TASKS

- Maintain oversight across the IGMC lines of operation
- Anticipate, assess, and report issues affecting readiness
- Proactive “eyes and ears” of the CMC
  - Identify deficiencies before they become major problems
- Conduct targeted assessments of issues of interest to the CMC
- Targeted areas:
  - Institutional Programs
  - Personnel
  - Equipment
  - Training

IGMC Liaison

-Department of Defense Inspector General
-NAVINSGEN Oversight planning Board
-General Auditing Office
-Naval Audits
-Safety Issues

MISSION – OUR PRODUCTS



FOR OFFICIAL USE ONLY

INSPECTOR GENERAL
of the MARINE CORPS
Assessment

Wounded Warrior Assessment

September 2011

This report has been approved by the IGMC

K. J. LEE

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FOR OFFICIAL USE ONLY

INSPECTOR GENERAL
of the MARINE CORPS (IGMC)
Assessment

AFGHANISTAN CONTRACTING ASSESSMENT

16 April 2013

This report has been approved by the IGMC

MajGen Juan G. Ayala

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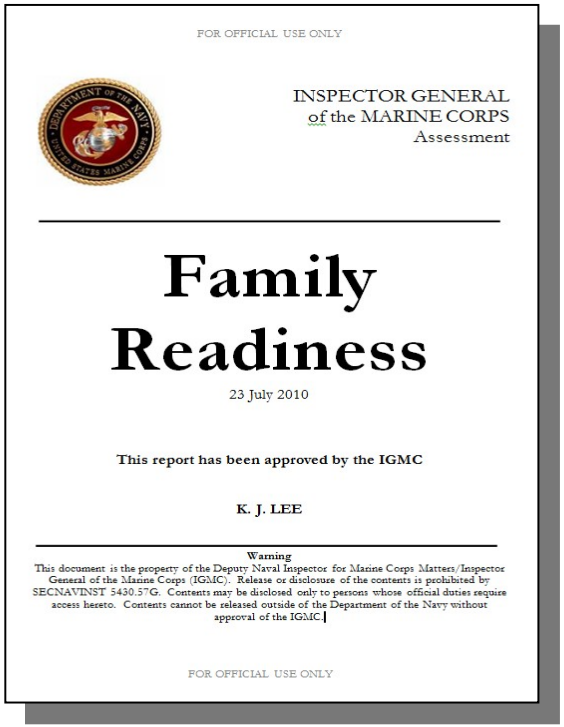

FOR OFFICIAL USE ONLY

INSPECTOR GENERAL
of the MARINE CORPS
Assessment

Family Readiness

23 July 2010

This report has been approved by the IGMC

K. J. LEE

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FOR OFFICIAL USE ONLY

Readiness Assessments are impartial, in-depth analysis of systemic & programmatic issues of concern to the SecDef, SecNav, CMC, ACMC, IGMC

PROJECTS

o Completed

- Personnel Accountability in Conjunction with Natural or Manmade Disaster(s)
- 2014 Federal Voter Assistance Assessment
- Mental/Behavior Health Accountability

o Current

- Transition Readiness Seminar
- Mental/Behavior Health Integration
- Personnel Accountability in Conjunction with Natural or Manmade Disaster(s)

o Future

- Implementation Guidance for Statutory Changes to Occupational Standards
  - *NLT 30 Sep: Validation of MOS & executed at MOS schools and training*
  - *FY16: First compliance Inspection*

- FY16 Oversight Plan Development

RECURRING TASKS

- Federal Voting Assistance Program
  - Congress mandated annual assessment (NLT March 31) to evaluate compliance and effectiveness during preceding calendar year

- Risk and Opportunity Assessment and Oversight Planning Board
  - Provide Service input to the Department of the Navy's Oversight Planning Board (UNDERSECNAV, VCNO and ACMC)
  - Identify vulnerabilities and opportunities
  - Align IG & NAVAUDSVC efforts to strengthen DON oversight functions – ensures oversight efforts on greatest risks

ROA vs Management Internal Control(MIC)

- ROA and MIC are complementary processes
  - Both involve risk identification and assessment
  - MIC – Internal command-level identified risk assessment
  - ROA – Systemic, external to command DON-level issues which require SECNAV level attention

- Commonality exist between both programs
  - Leadership can consider DON ROA identified risks as part of their internally-identified MIC risk assessment
  - Risk from DON ROA can be assessed to aid in identifying control deficiencies

DON FY16 ROA

What ROA is for…

- *Systemic* DON issues requiring SECNAV-level attention
- *Programmatic* and *institutional* risks that represent *significant* corporate-level challenges and o

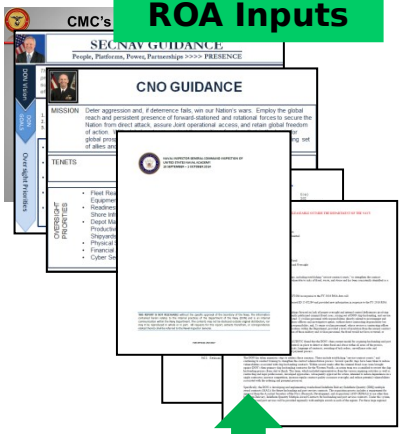
- What ROA is NOT for…
  - Identification of issues which can be resolved at the HQMC Agency level (or lower)
  - Identification of issues which are specific to a particular command only and do not meet OPB Charter criteria

DON OPB CHARTER OF 15 JUNE 2004 GERMANE

IF IN DOUBT, ASK US BEFORE SUBMISSION!

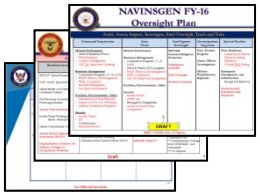
ROA LIFECYCLE

Guidance + IG Findings + ROA Inputs

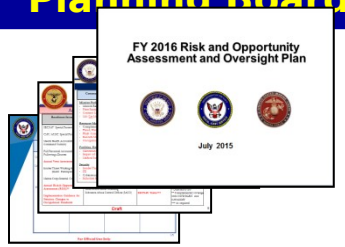


FEEDBACK

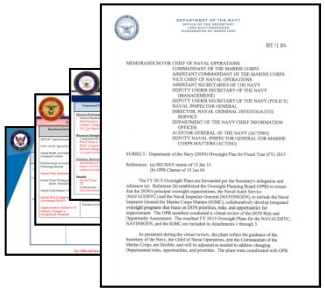
Oversight and Audit Plans Drafted by NAVIG, NAVAUD, and IGMC



Draft Oversight Plans routed to the Oversight Planning Board



OPB Review



FY16 DON Oversight Plan Approved

IG Inspections

Audits

Reports and Audits

FY16 Execution

DON FY16 ROA FEEDBACK

- Your Inputs - Insightful
- 26 Submissions
  - 14 New
  - 12 Re-submissions
- IGMC Feedback
  - Inputs validated IGMC observations in FY15
- MCATS task to HQMC Agencies to review and resolve FY16 Submissions

- Next Year
- Engage IGMC, NAVIG, NAVAUDSVC early in the process on potential inputs if in doubt
- Share with us your oversight plans

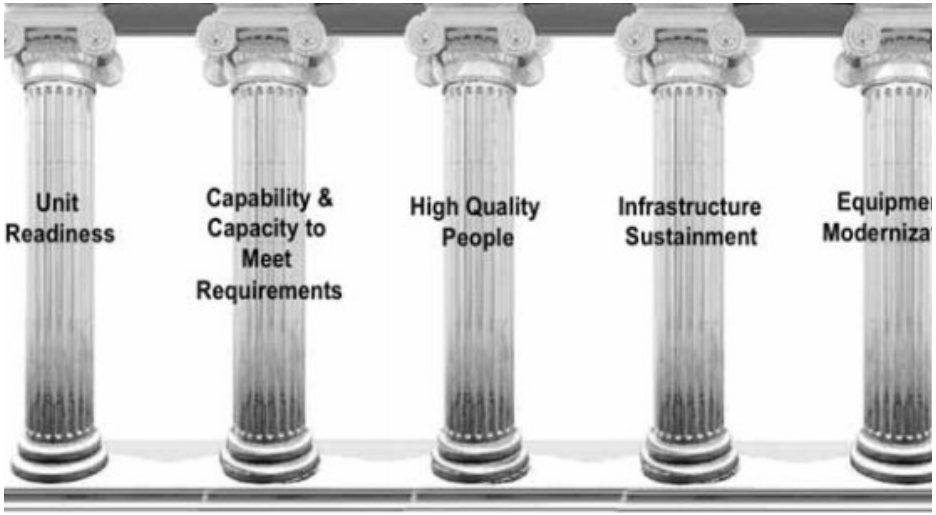
IG COLLABORATION IS KEY TO EFFECTIVE DON OVERSIGHT

FY16 APPROVED ROA

FY16 Record ID	Type	Priority	Action	Description of Vulnerability / Statement of Opportunity
16-3677	Risk	Low	Not Resubmitted	Difficulties with establishing a rapid and accurate personnel accounting requires the development of a program to ensure that personnel (Marine, dependent, family members, civilian employees and contractors) are accounted for following a natural or manmade event.
16-3767	Risk	Medium	Resubmitted	Regulations surrounding Mental Health Services makes it difficult for commanders to make informed decisions about employing Marines or providing additional observations/support to prevent high-risk incidents from occurring.
16-3770	Risk	High	New	Requirements for information and personnel security manager continue to grow, yet manpower and resources have not increased to commensurate with additional responsibilities to determine and assess potential vulnerabilities to insider threat for physical harm and information security.

CMC PLANNING GUIDANCE

Five Pillars of Institutional Readiness

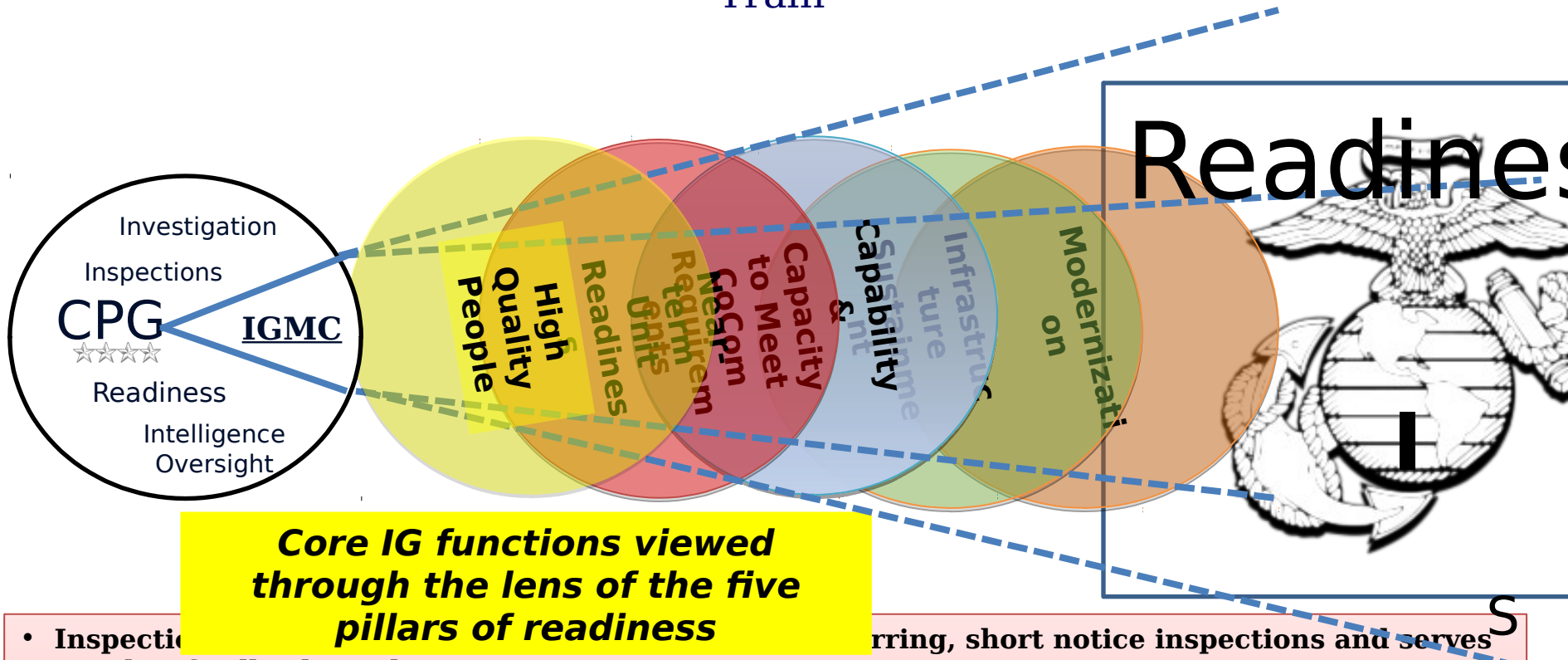


36th Commandant's Focus

- **The Corps, Marines, and the Future**
- **Making Marines, Leading Marines, and Keeping Faith with Marines and Their Families**
- **Warfighting, Crisis Response, and Institutional Readiness**
- **Exercising and Experimenting with a Focus on Naval Integration**

IGMC OVERSIGHT STRATEGY LINKAGE

Assist, Assess, Inspect, Investigate, Intel Oversight, Teach and Train



Core IG functions viewed through the lens of the five pillars of readiness

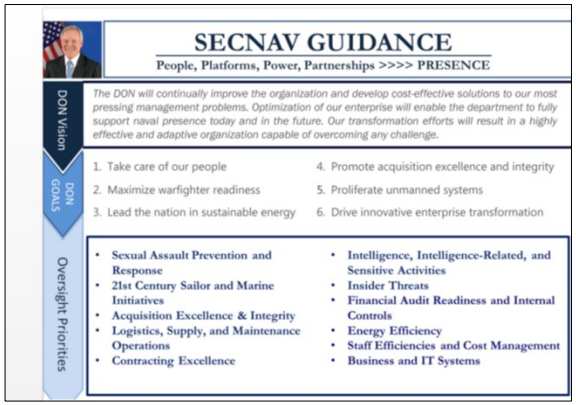
- **Inspecti… …rring, short notice inspections and serves as a policy feedback mechanism.**
- **Investigations and Hotline…promotes institutional integrity, conducts inquiries, manages cases of fraud, waste, abuse and misconduct**
- **Intelligence Oversight…monitors, provides oversight to reduce physical risk, unlawful/improper conduct, and coordinates w/Gov't agencies on intelligence, law enforcement and oversight matters.**
- **Readiness…trouble shoot systemic issues across the enterprise, conducts analysis, assessments and reports finding**

RECURRING TASKS – IGMC OVERSIGHT STRATEGY LINKAGE

Assist, Assess, Inspect, Investigate, Intel Oversight, Teach and Train

- **Units can expect a visit from the IGMC every 2 – 3 years**
- **Subject Matter Experts augment our IGMC Inspection Team**
- **The IGMC employs a functional checklist approach in our**

THE "CORE" – FUNCTIONAL AREAS, COMMON OPERATIONALLY REQUIRED EVALUATION


SECNAV GUIDANCE
People, Platforms, Power, Partnerships >>>> PRESENCE
DON Vision
The DON will continually improve the organization and develop cost-effective solutions to our most pressing management problems. Optimization of our enterprise will enable the department to fully support naval presence today and in the future. Our transformation efforts will result in a highly effective and adaptive organization capable of overcoming any challenge.
DON GOALS
1. Take care of our people
2. Maximize warfighter readiness
3. Lead the nation in sustainable energy
4. Promote acquisition excellence and integrity
5. Proliferate unmanned systems
6. Drive innovative enterprise transformation
Oversight Priorities
• Sexual Assault Prevention and Response
• 21st Century Sailor and Marine Initiatives
• Acquisition Excellence & Integrity
• Logistics, Supply, and Maintenance Operations
• Contracting Excellence
• Intelligence, Intelligence-Related, and Sensitive Activities
• Insider Threats
• Financial Audit Readiness and Internal Controls
• Energy Efficiency
• Staff Efficiencies and Cost Management
• Business and IT Systems

Core functional areas are linked to leadership priorities and concerns

CMC's Special Interests
1. Maintain a first-rate, well-trained total force in a high state of readiness.
2. Prioritize support of those Marines in harm's way.
3. Develop & field MAGTF capabilities ensuring the Marine Corps remains an innovative, relevant, and naval expeditionary force-in-readiness.
4. Build upon our success in leader development, professional military education, wounded warrior care, and family readiness.

CORE Functional Areas

Request Mast
Hazing Prevention and Response
Marine Corps Officer and Enlisted Promotion Process
Personnel Administration
Military Awards
Defense Travel System
Marine Corps Total Forces System
Legal Administration
Victim and Witness Assistance Program
Postal Affairs
Casualty Affairs
Separation and Retirement
Safety (Non-Aviation)
Equal Opportunity Program
Substance Abuse Program
Voter Registration Program
Intelligence Oversight
Information and Personnel Security Program
Physical Fitness Program
Body Composition and Military Appearance
Unit Training Management
Physical Security
Anti-Terrorism
Operation Security
Health Services Support
Dental
Ground Supply
Ground Ordnance Maintenance
Sexual Assault Prevention and Response Program
Marine Corps Unit Personal and Family Readiness
Unit Readiness
Government Travel Charge Card
Suicide Prevention Program

DRAFT

IGMC FY-16 Oversight Plan

Assist, Assess, Inspect, Investigate, Intel Oversight, Teach and Train

Readiness Issues	Command Inspections	Intelligence Oversight	Investigations Inquiries
SECNAV Special Projects***	**CMC Special Interest** **Sexual Assault Prevention and Response**** Suicide Prevention** Force Preservation (Safety, ORM) Hazing** Alcohol Abuse / Synthetic Drug Use** Social Media Professional Military Education	Sensitive Compartmented Information Facility (SCIF)	SECNAV/CMC Special Inquiries***
CMC/ACMC Special Projects***		**Marine Corps Insider Threat Working Group (MCITWG)**	Hotline Programs
Mental Health Accountability and Command Visibility	**Areas of Opportunity** Clarify core programs for commanders	Senior Review Board (SRB)	Senior Official Investigations
Full Personnel Accountability Following a Disaster	Every command and major subordinate command is provided full and impartial oversight	Sensitive Activities Review Group (SARG)	Command Case Oversight
Annual Voter Assessment*	**Inspection Trends** Information & Personnel Security Medical and Dental screening Substance Abuse Control Officer (SACO)	**Sensitive Activities Oversight Council (SAOC)**	Officer Screenings
Insider Threat Working Group (IGMC Participation)		Intelligence Community Liaison (ICL)	Freedom Of Information Act Requests (FOIA)
Marine Corps Internal Controls			**IGMC Priority** OPMSE&EE tasks for Senior Officials

* Directed by law
** Complementary coverage with NAVINSGEN and NAVAUDIT
*** As required

Draft

QUESTIONS?

Back up Slides

RECURRING TASKS – ROA OVERSIGHT PLANNING

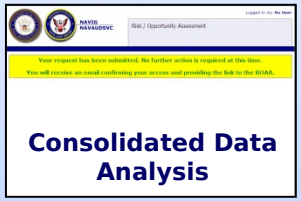
- The following are the six phases to developing the Department of the Navy Oversight Strategy:

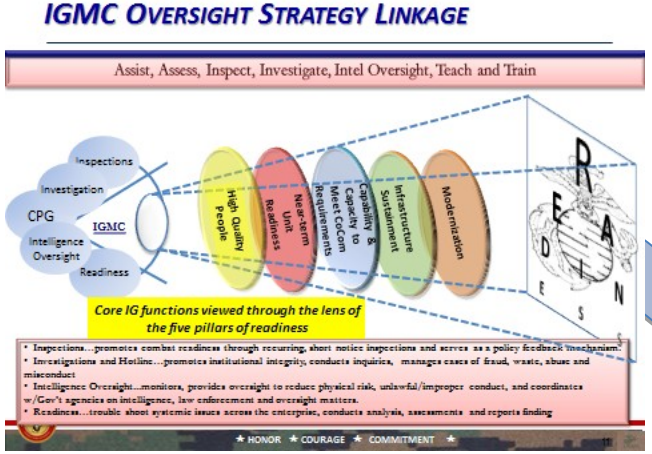
- Phase I – Initiating Directives (Feb-Apr)
- Phase II – Data Call (Apr)
- Phase III – Data Consolidation and Evaluation (May-Jun)
- Phase IV - FY2016 Oversight Strategy Formulation (Jun-Aug)
- Phase V – FY2016 Oversight Strategy Briefings to DON Staff (Aug-Oct)
- Phase VI – FY2016 Oversight Strategy Briefed to SECNAV (Oct)

RECURRING TASKS – ROA OVERSIGHT PLANNING

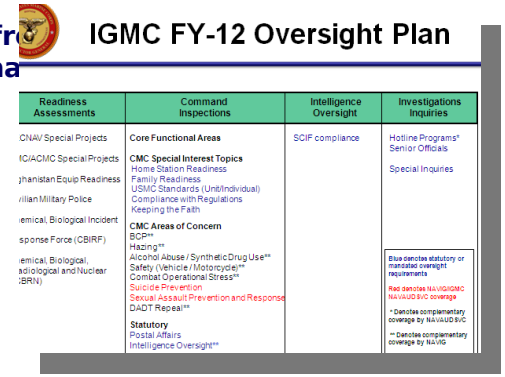
Phase IV – Oversight Strategy Formulation
Jun – Aug

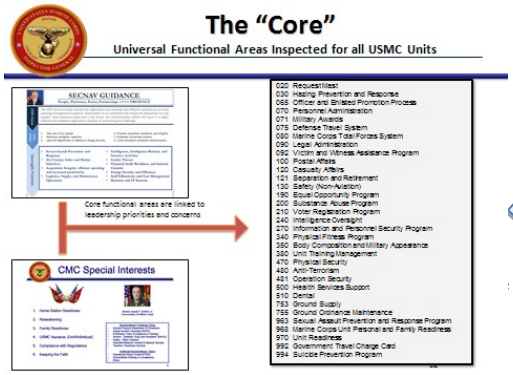
Department of the Navy
Oversight Planning Board Members
Mr. Thomas W. Hicks
(Acting) Under Secretary of the Navy
Gen. John M. Paxton
Assistant Commandant
Adm Michelle J. Howard
Vice Chief of Naval Operations
Navy – Marine Corps





sight Strategy is based on inputs fr
a received from subordinate comma
N Staff, OPNAV Staff, HQMC Staff
rsight Planning Board Members
NAV, CNO, CMC




The "Core"
Universal Functional Areas Inspected for all USMC Units
SECNAV GUIDANCE
Core functional areas are linked to leadership priorities and concerns
CMC Special Interests
020 Request Mast
030 Hazing Prevention and Response
065 Officer and Enlisted Promotion Process
070 Personnel Administration
071 Military Awards
075 Defense Travel System
080 Marine Corps Total Forces System
090 Legal Administration
092 Victim and Witness Assistance Program
100 Postal Affairs
120 Casualty Affairs
121 Separation and Retirement
130 Safety (Non-Aviation)
190 Equal Opportunity Program
200 Substance Abuse Program
210 Voter Registration Program
240 Intelligence Oversight
270 Information and Personnel Security Program
340 Physical Fitness Program
360 Body Composition and Military Appearance
380 Unit Training Management
470 Physical Security
480 Anti-Terrorism
481 Operation Security
600 Health Services Support
910 Dental
763 Ground Supply
755 Ground Ordnance Maintenance
963 Sexual Assault Prevention and Response Program
968 Marine Corps Unit Personal and Family Readiness
970 Unit Readiness
992 Government Travel Charge Card
994 Suicide Prevention Program

Oversight Planning

Department of the Navy
Oversight Planning Board Members
Mr. Thomas W. Hicks
(Acting) Under Secretary of the Navy
Gen. John M. Paxton
Assistant Commandant
Adm Michelle J. Howard
Vice Chief of Naval Operations
Navy – Marine Corps

Background: In 2004, Secretary of the Navy, Hon. Gordon England raised concerns about the potential for excessive fraud, waste, abuse, mismanagement and misconduct in the prosecution of Operation Iraqi Freedom and Operation Enduring Freedom. He directed the formulation of an Oversight Planning Board consisting of Under Secretary of the Navy (Chair), Vice Chief of Naval Operations (Co-Chair) and Assistant Commandant of the Marine Corps (Co-Chair).

Mission: Coordinate the planning and execution of oversight conducted by the department's Inspectors Generals (Navy & Marine), Naval Audit Service, NCIS and Office of Acquisition Integrity.

Intent: Assess the potential risks to the Department of Navy and guide the oversight organizations opportunities to mitigate known and potential risks.

Oversight Planning

Risks are defined as:

- **Systemic Department of the Navy issues requiring executive-level attention;**
- **Programmatic and institutional risks that represent significant corporate-level challenges and opportunities**
- **Detailed explanation how the risk area as vulnerable i.e. what makes it prone or susceptible to a situation that would ultimately conflict with or threaten DON goals and objectives**

Opportunities are defined as:

Description of a specific solution to a pre-existing condition that is being handled locally but can be shared as a best practice or opportunity for others to emulate.

Oversight Planning

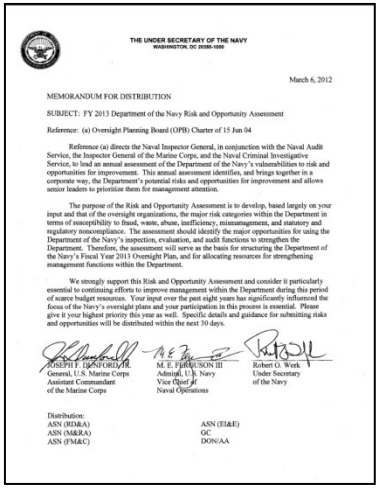
Secretary of the Navy

The following are the six phases to developing the Department of the Navy Oversight Strategy:

- **Phase I – Initiating Directives (1 Feb-6Apr 2015)**
- **Phase II – Data Call (6-30 Apr 2015)**
- **Phase III – Data Consolidation and Evaluation (1 May-1 Jun 2015)**
- **Phase IV - FY2016 Oversight Strategy Formulation (1 Jun-1 Aug 2015)**
- **Phase V – FY2016 Oversight Strategy Briefings to DON Staff (1 Aug–1 Oct 2015)**
- **Phase VI – FY2016 Oversight Strategy Briefed to SECNAV (1 Oct 2015)**

Oversight Planning

Phase I – Initiating Directives
1 Feb – 6 Apr 2015



THE UNDER SECRETARY OF THE NAVY
WASHINGTON, DC 20350-1000

March 6, 2012

MEMORANDUM FOR DISTRIBUTION

SUBJECT: FY 2013 Department of the Navy Risk and Opportunity Assessment

Reference: (a) Oversight Planning Board (OPB) Charter of 15 Jun 04

Reference (a) directs the Naval Inspector General, in conjunction with the Naval Audit Service, the Inspector General of the Marine Corps, and the Naval Criminal Investigative Service, to lead an annual assessment of the Department of the Navy's vulnerabilities to risk and opportunities for improvement. This annual assessment identifies, and brings together in a corporate way, the Department's potential risks and opportunities for improvement and allows senior leaders to prioritize them for management attention.

The purpose of the Risk and Opportunity Assessment is to develop, based largely on your input and that of the oversight organizations, the major risk categories within the Department in terms of susceptibility to fraud, waste, abuse, inefficiency, mismanagement, and statutory and regulatory noncompliance. The assessment should identify the major opportunities for using the Department of the Navy's inspection, evaluation, and audit functions to strengthen the Department. Therefore, the assessment will serve as the basis for structuring the Department of the Navy's Fiscal Year 2013 Oversight Plan, and for allocating resources for strengthening management functions within the Department.

We strongly support this Risk and Opportunity Assessment and consider it particularly essential to continuing efforts to improve management within the Department during this period of scarce budget resources. Your input over the past eight years has significantly influenced the focus of the Navy's oversight plans and your participation in this process is essential. Please give it your highest priority this year as well. Specific details and guidance for submitting risks and opportunities will be distributed within the next 30 days.

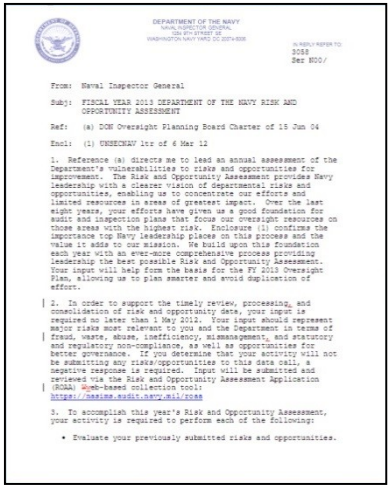
JOSEPH F. DUNFORD, JR.
General, U.S. Marine Corps
Assistant Commandant
of the Marine Corps

M. E. FERGUSON III
Admiral, U.S. Navy
Vice Chief of
Naval Operations

Robert O. Work
Under Secretary
of the Navy

Distribution:
ASN (RD&A)
ASN (M&RA)
ASN (FM&C)
ASN (EI&E)
GC
DON/AA

Initiating Directive signed by UNDERSECNAV, VCNO and ACMC. This documents directs the Department of the Navy to participate and identify risks to the department and opportunities to use DON assets to mitigate those risks.



DEPARTMENT OF THE NAVY
NAVAL INSPECTOR GENERAL
1254 9TH STREET SE
WASHINGTON NAVY YARD, DC 20374-5006

IN REPLY REFER TO:
5058
Ser N00/

From: Naval Inspector General

Subj: FISCAL YEAR 2013 DEPARTMENT OF THE NAVY RISK AND OPPORTUNITY ASSESSMENT

Ref: (a) DON Oversight Planning Board Charter of 15 Jun 04

Encl: (1) UNSECNAV ltr of 6 Mar 12

1. Reference (a) directs me to lead an annual assessment of the Department's vulnerabilities to risks and opportunities for improvement. The Risk and Opportunity Assessment provides Navy leadership with a clearer vision of departmental risks and opportunities, enabling us to concentrate our efforts and limited resources in areas of greatest impact. Over the last eight years, your efforts have given us a good foundation for audit and inspection plans that focus our oversight resources on those areas with the highest risk. Enclosure (1) confirms the importance top Navy leadership places on this process and the value it adds to our mission. We build upon this foundation each year with an ever-more comprehensive process providing leadership the best possible Risk and Opportunity Assessment. Your input will help form the basis for the FY 2013 Oversight Plan, allowing us to plan smarter and avoid duplication of effort.

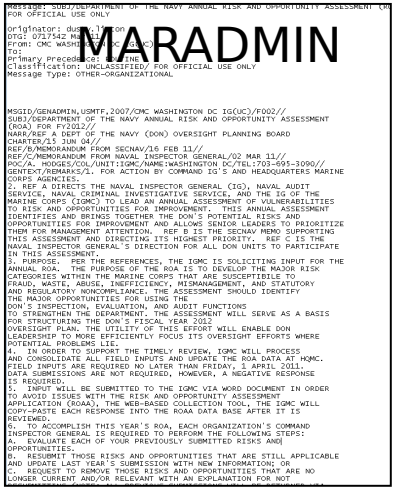
2. In order to support the timely review, processing, and consolidation of risk and opportunity data, your input is required no later than 1 May 2012. Your input should represent major risks most relevant to you and the Department in terms of fraud, waste, abuse, inefficiency, mismanagement, and statutory and regulatory non-compliance, as well as opportunities for better governance. If you determine that your activity will not be submitting any risks/opportunities to this data call, a negative response is required. Input will be submitted and reviewed via the Risk and Opportunity Assessment Application (ROAA) web-based collection tool:
https://navime.audit.navy.mil/roaa

3. To accomplish this year's Risk and Opportunity Assessment, your activity is required to perform each of the following:

- Evaluate your previously submitted risks and opportunities.

The Naval Inspector General is tasked with consolidating field inputs that are identified as risks. The risks can be any category (IT, Security, Contracting, etc.) and the risk are

NAVINSGEN



MARADMIN

Message: SUBJ/DEPARTMENT OF THE NAVY ANNUAL RISK AND OPPORTUNITY ASSESSMENT (RO
FOR OFFICIAL USE ONLY

originator: dus[redacted]
DTG: 071754Z Ma[redacted]
From: CMC WASHI[redacted]
To:
Primary Precedence: [redacted]
Classification: UNCLASSIFIED// FOR OFFICIAL USE ONLY
Message Type: OTHER-ORGANIZATIONAL

MSGID/GENADMIN,USMTF,2007/CMC WASHINGTON DC IG(UC)/P002//
SUBJ/DEPARTMENT OF THE NAVY ANNUAL RISK AND OPPORTUNITY ASSESSMENT
(ROA) FOR FY2011//
NARR/REF A DEPT OF THE NAVY (DON) OVERSIGHT PLANNING BOARD
CHARTER/15 JUN 04//
REF/B/MEMORANDUM FROM SECNAV/16 FEB 11//
REF/C/MEMORANDUM FROM NAVAL INSPECTOR GENERAL/02 MAR 11//
POC/A. HODGES/COL/UNIT:IGMC/NAME:WASHINGTON DC/TEL:703-695-3090//
GENTEXT/REMARKS/1. FOR ACTION BY COMMAND IG'S AND HEADQUARTERS MARINE
CORPS AGENCIES.
2. REF A DIRECTS THE NAVAL INSPECTOR GENERAL (IG), NAVAL AUDIT
SERVICE, NAVAL CRIMINAL INVESTIGATIVE SERVICE, AND THE IG OF THE
MARINE CORPS (IGMC) TO LEAD AN ANNUAL ASSESSMENT OF VULNERABILITIES
TO RISK AND OPPORTUNITIES FOR IMPROVEMENT. THIS ANNUAL ASSESSMENT
IDENTIFIES AND BRINGS TOGETHER THE DON'S POTENTIAL RISKS AND
OPPORTUNITIES FOR IMPROVEMENT AND ALLOWS SENIOR LEADERS TO PRIORITIZE
THEM FOR MANAGEMENT ATTENTION. REF B IS THE SECNAV MEMO SUPPORTING
THIS ASSESSMENT AND DIRECTING ITS HIGHEST PRIORITY. REF C IS THE
NAVAL INSPECTOR GENERAL'S DIRECTION FOR ALL DON UNITS TO PARTICIPATE
IN THIS ASSESSMENT.
3. PURPOSE. PER THE REFERENCES, THE IGMC IS SOLICITING INPUT FOR THE
ANNUAL ROA. THE PURPOSE OF THE ROA IS TO DEVELOP THE MAJOR RISK
CATEGORIES WITHIN THE MARINE CORPS THAT ARE SUSCEPTIBLE TO
FRAUD, WASTE, ABUSE, INEFFICIENCY, MISMANAGEMENT, AND STATUTORY
AND REGULATORY NONCOMPLIANCE. THE ASSESSMENT SHOULD IDENTIFY
THE MAJOR OPPORTUNITIES FOR USING THE
DON'S INSPECTION, EVALUATION, AND AUDIT FUNCTIONS
TO STRENGTHEN THE DEPARTMENT. THE ASSESSMENT WILL SERVE AS A BASIS
FOR STRUCTURING THE DON'S FISCAL YEAR 2012
OVERSIGHT PLAN. THE UTILITY OF THIS EFFORT WILL ENABLE DON
LEADERSHIP TO MORE EFFICIENTLY FOCUS ITS OVERSIGHT EFFORTS WHERE
POTENTIAL PROBLEMS LIE.
4. IN ORDER TO SUPPORT THE TIMELY REVIEW, IGMC WILL PROCESS
AND CONSOLIDATE ALL FIELD INPUTS AND UPDATE THE ROA DATA AT HQMC.
FIELD INPUTS ARE REQUIRED NO LATER THAN FRIDAY, 1 APRIL 2011.
DATA SUBMISSIONS ARE NOT REQUIRED, HOWEVER, A NEGATIVE RESPONSE
IS REQUIRED.
5. INPUT WILL BE SUBMITTED TO THE IGMC VIA WORD DOCUMENT IN ORDER
TO AVOID ISSUES WITH THE RISK AND OPPORTUNITY ASSESSMENT
APPLICATION (ROAA), THE WEB-BASED COLLECTION TOOL. THE IGMC WILL
COPY-PASTE EACH RESPONSE INTO THE ROAA DATA BASE AFTER IT IS
REVIEWED.
6. TO ACCOMPLISH THIS YEAR'S ROA, EACH ORGANIZATION'S COMMAND
INSPECTOR GENERAL IS REQUIRED TO PERFORM THE FOLLOWING STEPS:
A. EVALUATE EACH OF YOUR PREVIOUSLY SUBMITTED RISKS AND
OPPORTUNITIES.
B. RESUBMIT THOSE RISKS AND OPPORTUNITIES THAT ARE STILL APPLICABLE
AND UPDATE LAST YEAR'S SUBMISSION WITH NEW INFORMATION; OR
C. REQUEST TO REMOVE THOSE RISKS AND OPPORTUNITIES THAT ARE NO
LONGER CURRENT AND/OR RELEVANT WITH AN EXPLANATION FOR NOT

The IGMC coordinates the input of risks for the Marine Corps. A MARADIM is published to provided essential information to accomplish the SECNAV Ta

IGMC

Oversight Planning

Phase II – Data Call
6-30 Apr 2015

https://nasims.audit.navy.mil/roaa

6-30 April 15

Commanding Generals

Command IGs

NAVIG
NAVAUDSVC
Risk / Opportunity Assessment
Your request has been submitted. No further action is required at this time.
You will receive an email confirming your access and providing the link to the ROAA.

CIGs Register online data collection website

NAVIG
NAVAUDSVC
Risk / Opportunity Assessment
Your request has been submitted. No further action is required at this time.
You will receive an email confirming your access and providing the link to the ROAA.

Potential risks include IT assets, civilian time & attendance, contracting

CIGs input risks, provide description and oversight necessity

NAVINSGEN

IGMC

NAVAL AUDIT SERVICE

CIGs collect and submit risk data from subordinate units. CIG inputs require FLAG/GO approval.

Submission Info Required

1. Originated by: (Organization)
2. Status: (prior years submission
3. Action: (New or Resubmit)
4. Risk POC (Name, Phone, Email)
5. Functional Area: (Intel, Security, etc.)
6. Type: Risk or Opportunity
7. Description of vulnerability/statement of opportunity
8. Impact justification

Oversight Planning

Phase III – Data Consolidation & Evaluation
1 May – 1 Jun 2015

NAVINSGEN ★★★

IGMC ★★

NAVAL AUDIT SERVICE

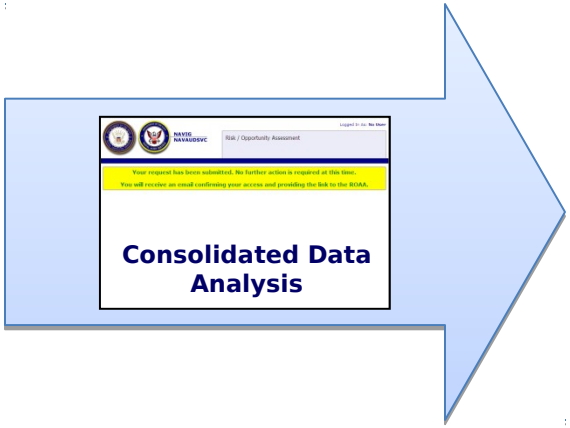
Consolidation and analysis of data submissions

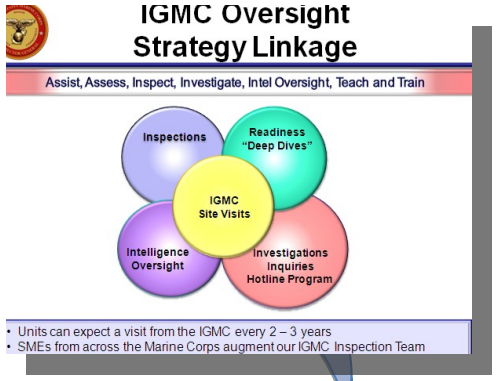
Risk / Opportunity Assessment
Your request has been submitted. No further action is required at this time.
You will receive an email confirming your access and providing the link to the ROAA.
Category of Risk
• Low
• Medium
• High

Risks will be consolidate for the entire Department of the Navy

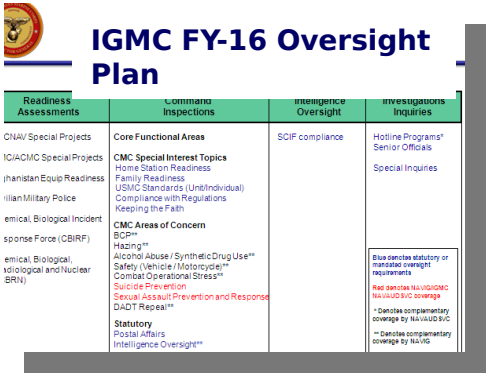
Oversight Planning

Phase IV – FY2013 Oversight Strategy Formulation
1 Jun – 1 Aug 2015




IGMC Oversight Strategy Linkage
Assist, Assess, Inspect, Investigate, Intel Oversight, Teach and Train
Inspections
Readiness "Deep Dives"
IGMC Site Visits
Intelligence Oversight
Investigations Inquiries Hotline Program
• Units can expect a visit from the IGMC every 2 – 3 years
• SMEs from across the Marine Corps augment our IGMC Inspection Team

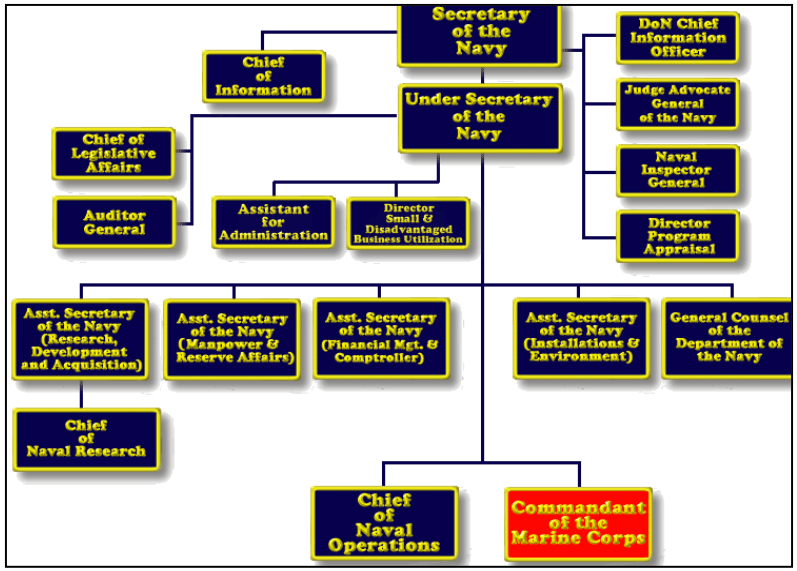
versight Strategy is based on inputs from:
ata received from subordinate command
ON Staff, OPNAV Staff, HQMC Staff
versight Planning Board Members
ECNAV, CNO, CMC



Oversight Planning

Phase V – FY2016 Oversight Strategy Briefings to DON Staff
1 Aug – 1 Oct 2015

Final Phase prior to SECNAV, CMC, CNO brief:
- **Data received from subordinate command**
- **DON Staff, OPNAV Staff, HQMC Staff**
- **Oversight Planning Board Members**


Secretary of the Navy
DoN Chief Information Officer
Chief of Information
Under Secretary of the Navy
Judge Advocate General of the Navy
Chief of Legislative Affairs
Naval Inspector General
Auditor General
Assistant for Administration
Director Small & Disadvantaged Business Utilization
Director Program Appraisal
Asst. Secretary of the Navy (Research, Development and Acquisition)
Asst. Secretary of the Navy (Manpower & Reserve Affairs)
Asst. Secretary of the Navy (Financial Mgt. & Comptroller)
Asst. Secretary of the Navy (Installations & Environment)
General Counsel of the Department of the Navy
Chief of Naval Research
Chief of Naval Operations
Commandant of the Marine Corps

Oversight Planning

Phase VI – FY2016 Oversight Strategy Briefings DON Senior Leadership Group 1 Oct 2015

Department of the Navy
Oversight Planning Board Members
Mr. Thomas W. Hicks
(Acting) Under Secretary of the Navy
Gen. John M. Paxton
Assistant Commandant
Adm Michelle J. Howard
Vice Chief of Naval Operations
Navy – Marine Corps

Senior Leadership Group

FY 2016 Risk and Opportunity Assessment and Oversight Plan

Presented: 1 October 2015

TASKS

- As directed or required, analyze and assess enterprise-level issues which may degrade Marine Corps operational or institutional readiness
- Conduct functional area assessments of individual systems, functions, and programs to address noted risks, deficiencies or systemic enterprise-level issues and coordinate corrective action
- Prepare assessment report with recommended courses of action to correct or mitigate the identified risk, or systemic issue

TASKS

- Submit monthly IGMC update report to the Commandant of the Marine Corps, Assistant Commandant of the Marine Corps, and Naval Inspector General.
- Develop the Marine Corps' Risk and Opportunity Assessment (ROA) and Oversight Plan and Federal Voting Assistance Program annual assessment report
- IGMC Liaison for: Department of Defense Inspector General, NAVINSGEN Oversight Planning Board, General Auditing Office, Naval Audits, Safety issues

CURRENT TASKS

- Transition Readiness Seminar
- Mental/Behavior Health Integration
- Personnel Accountability in Conjunction with Natural or Manmade Disaster(s)

FUTURE TASKS

- FY16 Oversight Plan Development

- Implementation Guidance for Statutory Changes to Occupational Standards